

NEW JERSEY BUREAU OF SECURITIES
153 Halsey Street, 6th Floor, Newark, NJ 07102
Post Office Box 47029, Newark, NJ 07101
(973) 504-3600

INSTRUCTIONS FOR BROKER-DEALER APPLICATION

Enclosed are the requested forms for broker-dealer registration in the State of New Jersey. Also enclosed are copies of the New Jersey Uniform Securities Law (commonly known as the New Jersey Blue Sky Law) and the corresponding Regulations.

NASD Members

Complete Form BD (be sure to check the box for New Jersey in Section 2) and Form U-4 for all individuals listed on Schedule A and submit the forms along with the \$250.00 application fee electronically through the Central Registration Depository (CRD).

Non-NASD Members

Complete Form BD and Form U-4 for all individuals listed on Schedule A and submit along with \$250.00 for one year's registration to:

Registration Section
New Jersey Bureau of Securities
153 Halsey Street, 6th Floor
Newark, New Jersey 07102

The Application Process

Once the New Jersey Bureau of Securities (the "Bureau") receives notice of a firm's intention to apply for broker-dealer registration either through the Central Registration Depository System (NASD members) or through the mail (non-NASD members), the Broker-Dealer Supplement Form (the "Supplement") will be sent to the firm directly from the Bureau. The firm should complete the Supplement and return it to the Bureau. Once the Supplement has been received, the firm's application will be processed.